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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Shee

10

Application Number	10/079,073
Filing Date	2/20/02
First Named Inventor	Deliwala
Art Unit	3453
Examiner Name	Not yet assigned
Attorney Docket Number	053108-500381D8

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document Country Code ² Number ³ Kind Code ⁴ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines. Where Relevant Passages or Relevant Figures Appear

Examiner Initials/Reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and consider. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST 31) 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST 16 if possible. 6 Applicant is to place a check mark here if English language

Translation is attached.
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Attachment to paper 1103

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)
(37 C.F.R. § 1.98(b))

ATTY. DOCKET NO.
53168-500301D8

SERIAL NO.
Not yet known

APPLICANT
Shrenik Deliwala

FILING DATE
February 20, 2002

GROUP
Not yet known 2874

J110/07907
02/20/02



U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER								ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JD	A	6	1	7	7	6	8	5	01/01	Teraguchi et al.	—	—	—
JD	B	6	1	8	8	8	1	8	02/01	Han et al.	—	—	—
JD	C	6	1	6	6	8	4	6	12/00	Maloney	—	—	—
JD	D	6	0	7	5	9	0	8	06/00	Paniccia et al.	—	—	—
JD	E	6	1	2	2	4	1	9	09/00	Kurokawa	—	—	—
JD	F	5	8	6	4	6	4	2	01/99	Chun et al.	—	—	—
JD	G	5	8	7	2	3	6	0	02/99	Paniccia et al.	—	—	—
JD	H	5	8	3	5	6	4	6	11/98	Yishimura et al.	—	—	—
JD	I	5	6	9	6	8	6	2	12/97	Hauer et al.	—	—	—
JD	J	4	6	7	7	7	8	3	07/87	Cratsa	—	—	—
JD	K	5	6	3	8	4	6	9	06/97	Feldman et al.	✓	✓	✓

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

JD	L	Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000.
JD	M	Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994.
JD	N	Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.
JD	O	Robert Shi and Tomasz Jannson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing – Micro-optics, Artech House, pp. 141-225.
JD	P	Amalia N. Miliou et al., A 1.3 μ m Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993.
JD	Q	Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

EXAMINER

Jennifer Drury

DATE CONSIDERED

11/07/03

EXAMINER: Initial citation/considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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(37 C.F.R. § 1.98(b))

ATTY. DOCKET NO.
53168-500301D8

SERIAL NO.
Not yet known

10/079, 073

APPLICANT
Shrenik Deliwala.

FILING DATE
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JD	R	5	6	2	9	8	3	8	05/97	Knight et al.	—	—	—
	S	5	6	2	5	7	2	9	04/97	Brown	—	—	—
	T	5	6	2	5	6	3	6	04/97	Bryan et al.	—	—	—
	U	5	6	0	5	8	5	6	02/97	Goosen et al.	—	—	—
	V	5	5	6	8	5	7	4	10/96	Tanguay, Jr. et al.	—	—	—
	W	5	5	0	2	7	7	9	03/96	Magel	—	—	—
	X	5	4	8	5	0	2	1	01/96	Abc	—	—	—
	Y	5	4	3	4	4	3	4	07/95	Kasahara et al.	—	—	—
	Z	5	4	3	2	6	3	0	07/95	Lebby et al.	—	—	—
	AA	5	4	0	0	4	1	9	03/95	Heinen	—	—	—
	BB	5	1	9	8	6	8	4	03/93	Sudo	—	—	—

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION
							YES NO
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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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EXAMINER

Jennifer Doan

DATE CONSIDERED

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EXAMINEE R INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JD	CC	5	1	5	9	7	0	0	10/92	Reid, deceased et al.			
	DD	5	1	5	3	7	7	0	10/92	Harris			
	EE	5	0	6	1	0	2	7	10/91	Richard			
	FF	4	9	6	6	4	3	0	10/90	Weidel			
	GG	4	9	3	9	7	9	3	07/90	Stewart			
	HH	4	9	1	7	4	5	0	04/90	Pocholle			
	II	4	8	7	1	2	2	4	10/89	Karstensen			
	JJ	4	8	6	5	4	2	7	09/89	Kingston et al.			
	KK	4	7	6	1	6	2	0	08/88	Bar-Joseph et al.			
	LL	4	7	5	8	0	9	2	07/88	Heinrich et al.			
	MM	4	6	9	5	1	2	0	09/87	Holder			

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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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Jennifer Draw

DATE CONSIDERED

11/07/03

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<p>FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)</p> <p>(37 C.F.R. § 1.98(b))</p>	ATTY. DOCKET NO. 53168-500301D8	SERIAL NO. Not yet known
	APPLICANT Shrenik Deliwala	
	FILING DATE February 20, 2002	GROUP Not yet known

U.S. PATENT DOCUMENTS

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

EXAMINER

Jennifer Doan

DATE CONSIDERED

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	<i>Not yet Known</i>
Filing Date	<i>February 20, 2002</i>			First Named Inventor	<i>Surendra Divalala</i>
Art Unit				Examiner Name	<i>Not yet Known</i>
Sheet	<i>1</i>	of	<i>1</i>	Attorney Docket Number	<i>53168-500301DB</i>

Examiner Signature	Jennifer Doan	Date Considered	11/07/03
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